

527,528

Pat'd PCT

11 MAR 2005

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property  
Organization  
International Bureau



(43) International Publication Date  
15 April 2004 (15.04.2004)

PCT

(10) International Publication Number  
**WO 2004/031820 A1**

(51) International Patent Classification<sup>7</sup>: **G02B 6/12**,  
G02F 1/29

(21) International Application Number:  
PCT/JP2003/012423

(22) International Filing Date:  
29 September 2003 (29.09.2003)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:  
NO. 2002-288643 1 October 2002 (01.10.2002) JP

(71) Applicant (for all designated States except US): **CANON KABUSHIKI KAISHA** [JP/JP]; 3-30-2, Shimomaruko, Ohta-ku, Tokyo 146-8501 (JP).

(72) Inventors; and

(75) Inventors/Applicants (for US only): **SEKI, Junichi**

[JP/JP]; c/o CANON KABUSHIKI KAISHA, 3-30-2, Shimomaruko, Ohta-ku, Tokyo 146-8501 (JP). **ITSUJI, Takeaki** [JP/JP]; c/o CANON KABUSHIKI KAISHA, 3-30-2, Shimomaruko, Ohta-ku, Tokyo 146-8501 (JP).

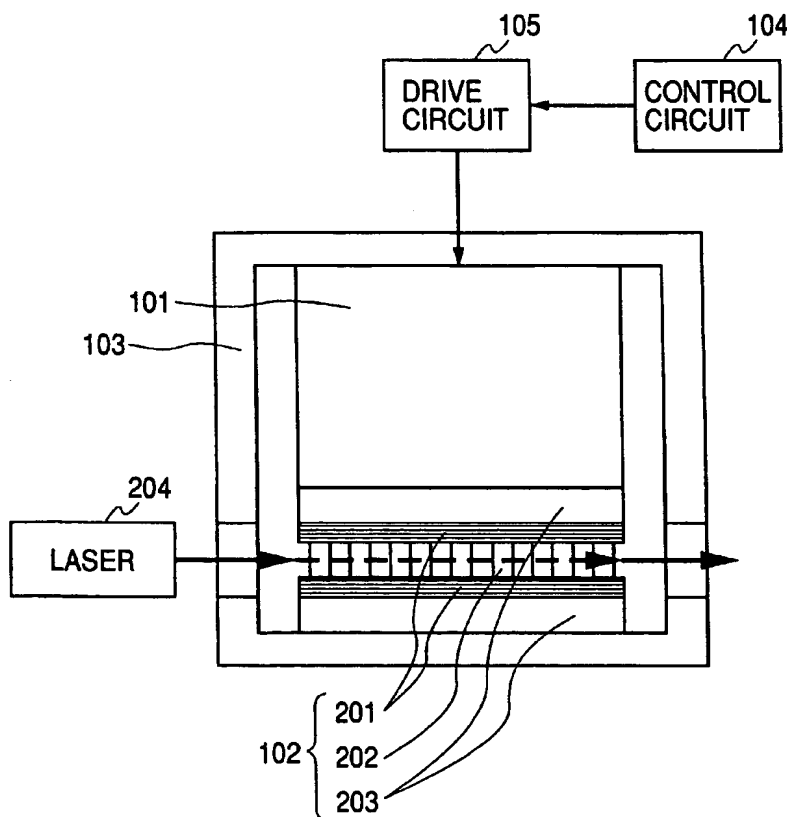
(74) Agents: **OKABE, Masao** et al.; No. 602, Fuji Bldg., 2-3, Marunouchi 3-chome, Chiyoda-ku, Tokyo 100-0005 (JP).

(81) Designated States (national): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.

(84) Designated States (regional): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM),

[Continued on next page]

(54) Title: OPTICAL DEFLECTOR BASED ON PHOTONIC BANDGAP STRUCTURE



(57) Abstract: An optical deflector comprises a photonic crystal section, a light lead-in means for leading in light having a specific wavelength to the photonic crystal section and an external force application means for deforming the photonic crystal section by way of mechanical external force and changing the angle of refraction of the light led in by the light lead-in means in the photonic crystal section. Such an optical deflector has a compact configuration and operates at high speed.

WO 2004/031820 A1



European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO, SE, SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

**Published:**

— *with international search report*

## DESCRIPTION

## OPTICAL DEFLECTOR BASED ON PHOTONIC BANDGAP STRUCTURE

## 5 TECHNICAL FIELD

The present invention relates to an optical deflector, an optical switch and an optical scanner as well as an optical deflection method.

## 10 BACKGROUND ART

"Photonic crystal" is an artificial novel crystal that has been proposed in recent years and is attracting attention ever since (E. Yablonovitch, Phys. Rev. Lett., 58 (1987) 2059-2062). It can be  
15 obtained by cyclically arranging substances having different refractive indexes at intervals substantially equal to the wavelength of light. Research and development efforts are being paid to produce optical elements out of such a crystal  
20 substance because it has peculiar optical characteristics including those of showing a forbidden band of light and having an apparently abnormal refractive index that are attributable to its so-called photonic band structure resembling to  
25 the band structure of a semiconductor and can be designed artificially in terms of structure and scale.

Of these optical characteristics, a phenomenon referred to as super-prism effect may be worthy of paying attention. It is a phenomenon attributable to the apparently abnormal refractive index it has as  
5 pointed out above. More specifically, photonic crystal shows an angle of refraction several to several hundreds times greater than that of an ordinary prism made of optical glass.

As an application of the above-described  
10 phenomenon, a method of controlling the angle of deflection by changing the wavelength of the laser beam striking a photonic crystal has been proposed (Japanese Patent Application Laid-Open No. 2001-13439, U.S. Patent No. 6,448,997). There has also been  
15 proposed a method of controlling the angle of deflection by shifting the angle of a photonic crystal by means of an actuator (Japanese Patent Application Laid-Open No. 2001-42248, U.S. Patent Application Publication No. 2002/027696).

20 However, a variable wavelength laser needs to be used as light source in order to change the wavelength of a laser beam but such a laser is generally expensive. Additionally, the use of such a laser is in principle not suitable for applications  
25 that require a constant wavelength. Furthermore, in order to shift the angle of a photonic crystal, it is necessary to use a large mechanism for shifting the

entire crystal and such a mechanism is accompanied by a problem that the operation frequency lowers in use.

In view of the above-identified circumstances, it is therefore the object of the present invention to provide an optical deflector, an optical switch and an optical scanner having a compact configuration and adapted to operate at high speed as well as an optical deflection method.

#### 10 DISCLOSURE OF THE INVENTION

The present invention provides an optical deflector, an optical switch and an optical scanner as well as an optical deflection method that have respective configurations as described below.

15 According to the invention, there is provided an optical deflector comprising a photonic crystal section, a light lead-in means for leading in light having a specific wavelength to the photonic crystal section and an external force application means for  
20 deforming the photonic crystal section by way of mechanical external force and changing the angle of refraction of the light led in by the light lead-in means in the photonic crystal section.

In another aspect of the invention, there is  
25 provided an optical switch or an optical scanner characterized in that it is realized by adding to an optical deflector as defined above a light lead-out

means for leading out light deflected to a desired direction by an optical deflector.

In still another aspect of the invention, there is provided a light deflection method characterized by leading in light having a specific wavelength to a photonic crystal section, shifting the angle of refraction of the led in light in the photonic crystal section by applying mechanical external force to the photonic crystal section, thereby deflecting the led in light.

#### BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 is a schematic illustration of the embodiment 1 of the invention, which is an optical switch, showing its configuration;

FIG. 2 is a schematic illustration of the embodiment 2 of the invention, which is also an optical switch, showing its configuration; and

FIG. 3 is a schematic illustration of the photonic crystal used in the embodiment 2, showing its configuration.

#### BEST MODE FOR CARRYING OUT THE INVENTION.

In a mode of carrying out the invention, an actuator for applying mechanical external force is fitted to a photonic crystal that is formed by using a deformable material and, under a condition where a

laser beam is made to strike the photonic crystal, the photonic crystal is deformed by using the actuator. As a result, the laser beam can be deflected by shifting the refractive angle without  
5 modulating the wavelength of the laser beam.

An optical switch can be realized by shifting the outgoing position of the laser beam transmitted through a photonic crystal by switching the angle of refraction so as to lead out the laser beam by way of  
10 a desired route.

An optical scanner can be realized by continuously shifting the outgoing angle of the laser beam transmitted through a photonic crystal by shifting the angle of refraction so as to lead out  
15 the laser beam directing a desired angle.

The angle of refraction varies depending on the period of a photonic crystal. Alternatively, the angle of refraction can be changed by changing the distribution of refractive index in a period while  
20 fixing the period.

With an arrangement for directly deforming a photonic crystal in a manner as described above, it is possible to realize a compact configuration and a high-speed operation.

25 Thus, according to the invention, there is provided an optical deflector, an optical switch and an optical scanner having a compact configuration and

adapted to operate at high speed as well as an optical deflection method.

Now, the present invention will be described in greater detail by referring to the accompanying  
5 drawings that illustrate preferred embodiments of the present invention.

#### Embodiment 1

FIG. 1 is a schematic illustration of the embodiment 1 of the invention, which is an optical  
10 switch, showing its configuration.

Referring to FIG. 1, an actuator 101 formed by a piezoelectric element and a photonic crystal 102 of PMMA (polymethylmethacrylate) are connected to each other and contained in a cabinet 103. The photonic  
15 crystal 102 is formed by boring through holes through a plate-shaped piece of PMMA. The through holes are formed by X-ray lithography.

In this embodiment, a force is applied to the photonic crystal in the direction of period to  
20 mechanically deform the crystal, whereby the period and thus the refractive index are changed.

The actuator 101 operates to expand and compress the photonic crystal 102 in respective directions indicated by a double-headed arrow 112.  
25 The cabinet 103 is provided with three holes arranged at a pair of opposite sides of the photonic crystal 102 in order to secure a light path through the



photonic crystal 102. An optical fiber is fitted to each of the holes to lead in or lead out a laser beam through it. The first and second optical fibers 106, 107 are arranged at a side opposite to the third optical fiber 108 with the photonic crystal 102 disposed between them.

A control circuit 104 is adapted to feed a control quantity to drive circuit 105, which drives the actuator 101.

Incident light 111 that comes in through the third optical fiber 103 is transmitted through the photonic crystal 102 by way of the first optical path 109 or the second optical path 110 depending on the control quantity output from the control circuit 104 and enters the first optical fiber 106 or the second optical fiber 107.

The photonic crystal 102 is formed by boring through holes through a plate-shaped piece of PMMA, which is a continuous entity, in the above description. However, the structure of the photonic crystal is not limited thereto and a cyclic structure formed by regularly and perpendicularly standing pillar-shaped members on a substrate may alternatively be used. If such a structure is used, the substrate is horizontally expanded and compressed by means of the actuator so as to indirectly change the cyclicity of the pillar-shaped members. The

actuator and the cabinet may become unnecessary when the substrate is formed by a piezoelectric substance so that the substrate itself may expand and compress.

The material of the photonic crystal 102 is not  
5 limited to the above-described one. More specifically, it may be selected from candidate materials by taking physical properties such as refractive index and Young's modulus, process-  
adaptability in the manufacturing process,  
10 adaptability to the operating environment including temperature and humidity into consideration.

Additionally, while a piezoelectric element is used as actuator 101 in this embodiment, some other drive mechanism such as a feed screw mechanism or a  
15 voice coil may alternatively be used.

#### Embodiment 2

FIG. 2 is a schematic illustration of the embodiment 2 of the invention, which is also an optical scanner, showing its configuration.

20 Referring to FIG. 2, an actuator 101 formed by using a piezoelectric element and a photonic crystal 102 are put together and contained in a cabinet 103. As shown in FIG. 2, the photonic crystal 102 is formed by sandwiching a cyclic structure 202  
25 comprising deformable pillar-shaped independent members between a pair of substrates 203 arranged in parallel with each other so as to make the pillar-

shaped members stand perpendicularly relative to the substrates 203.

In this embodiment, while the period of the photonic crystal is fixed, the distribution of refractive index in a period and thus the angle of refraction are shifted continuously so that the direction of deflection is continuously variable. Hence, an optical scanner is realized.

The actuator 101 operates to expand and compress the photonic crystal 102 in the opposite directions of the normal to the surfaces of the substrates 203. The cabinet 103 is provided with two holes arranged at a pair of opposite sides of the photonic crystal 102 in order to secure a light path through the photonic crystal 102. A laser beam that comes from a laser 204 and enters the element through one of the holes is transmitted through the photonic crystal 102 and goes out through the other hole that is wide in the scanning direction. A control circuit 104 computationally determines a control quantity in such a way that the laser beam is deflected by a desired angle before it goes out and feeds it to the drive circuit 105, which drives actuator 101.

The photonic crystal 102 may typically be prepared in a manner as described below. Firstly, a multilayer film is formed on a substrate 203 that is made of Si to produce a reflection film 201. Then,

PMMA (polymethylmethacrylate) is applied onto the reflection film 201 and a cyclic structure 202 is formed by X-ray lithography. Each of the pillar-shaped members of the cyclic structure 202 is  
5 isolated and a two-dimensional cyclic structure is formed on the surface plane of the reflection film 201 that is parallel to the surface of the substrate 203.

Then, another substrate 203, which is made of  
10 Si and on which a reflection film 201 is formed, is prepared and the two substrates 203 are put together with the reflection films 201 facing the cyclic structure 202 of PMMA. The end facet through which light goes out is processed by grinding to show an  
15 arc-shaped profile as illustrated in FIG. 3. Note that FIG. 3 is a view as seen along the normal to the substrates 203.

As external force is applied to the photonic crystal 102 prepared in a manner as described above  
20 along the normal to the substrates 203. A drive circuit 105 is controlled by a control circuit such that a continuous voltage is applied to the actuator. As a result, the actuator deforms the cyclic structure by causing a continuous  
25 expansion/contraction thereof. Each of the pillar-shaped members of the cyclic structure 102 is deformed to change continuously its diameter so that

the angle of refraction of the photonic crystal 102 can be shifted under control. Therefore, incident light 111 that comes into the photonic crystal 102 from the laser 204 is refracted by an angle according to the quantity of deformation given by the control circuit 104 and then transmitted through the photonic crystal 102 so that the outgoing beam of light 301 scans within an angle as indicated by deflecting range 302 in FIG. 3.

10           The materials of the reflection films 201, the cyclic structure 202, the substrates 203 and so on are not limited to those described above. More specifically, they may be selected from candidate materials by taking physical properties such as refractive index and Young's modulus, process-  
15           adaptability in the manufacturing process, adaptability to the operating environment including temperature and humidity into consideration.

          Additionally, while a piezoelectric element is  
20           used as actuator 101 in this embodiment, some other drive mechanism such as a feed screw mechanism or a voice coil may alternatively be used.

## CLAIMS

1. An optical deflector comprising:  
a photonic crystal section;  
a light lead-in means for leading in light to  
5 said photonic crystal section; and  
an external force application means for  
deforming said photonic crystal section by way of  
mechanical external force and changing the angle of  
refraction of the light led in by said light lead-in  
10 section in said photonic crystal section.
2. The optical deflector according to claim 1,  
wherein  
said photonic crystal section is formed by a  
15 member deformable by external force and said external  
force application means is adapted to apply  
mechanical external force to said photonic crystal  
section in the direction of cyclicity of the cyclic  
structure of the photonic crystal section so as to  
20 shift the angle of refraction in said photonic  
crystal section.
3. The optical deflector according to claim 1,  
wherein  
25 said external force application means is  
adapted to apply mechanical external force to said  
photonic crystal section in a direction perpendicular

to the direction of cyclicity of the cyclic structure of the photonic crystal section so as to shift the angle of refraction in said photonic crystal section.

5           4. The optical deflector according to claim 3,  
wherein

          said photonic crystal section is formed by  
using deformable pillar-shaped independent members  
for forming said cyclic structure and a pair of  
10   support members arranged to sandwich the independent  
members in a direction perpendicular to the direction  
of arrangement of the independent members.

          5. The optical deflector according to claim 4,  
15   wherein

          said support members are formed by substrates  
and reflection layers arranged on the surfaces of the  
substrates facing said independent members.

20           6. The optical deflector according to claim 1,  
wherein

          the end facet of said photonic crystal section  
through which light goes out is made to show an arc-  
shaped profile.

25

          7. An optical switch comprising an optical  
deflector according to claim 1 and a light lead-out

means for leading out light deflected to a desired direction by said optical deflector.

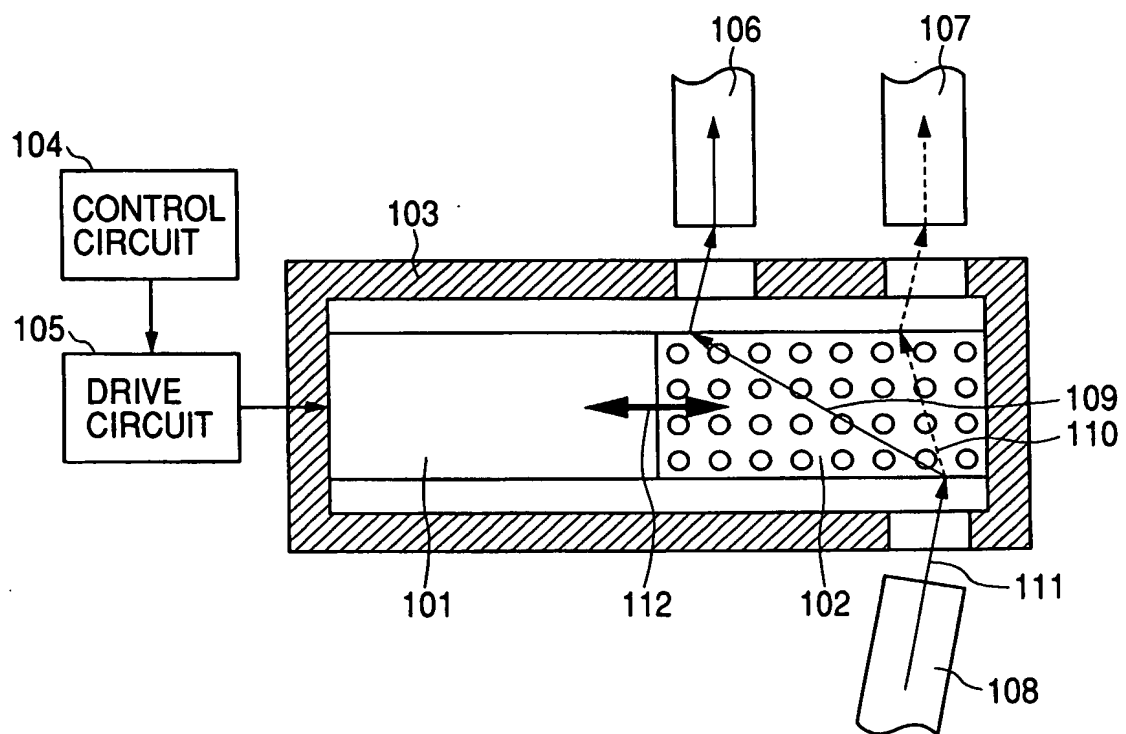
8. An optical scanner comprising an optical  
5 deflector according to claim 1.

9. An optical deflection method characterized  
by leading in light having a specific wavelength to a  
photonic crystal section, shifting the angle of  
10 refraction of the led in light in said photonic  
crystal section by applying mechanical external force  
to said photonic crystal section, thereby deflecting  
the led in light.

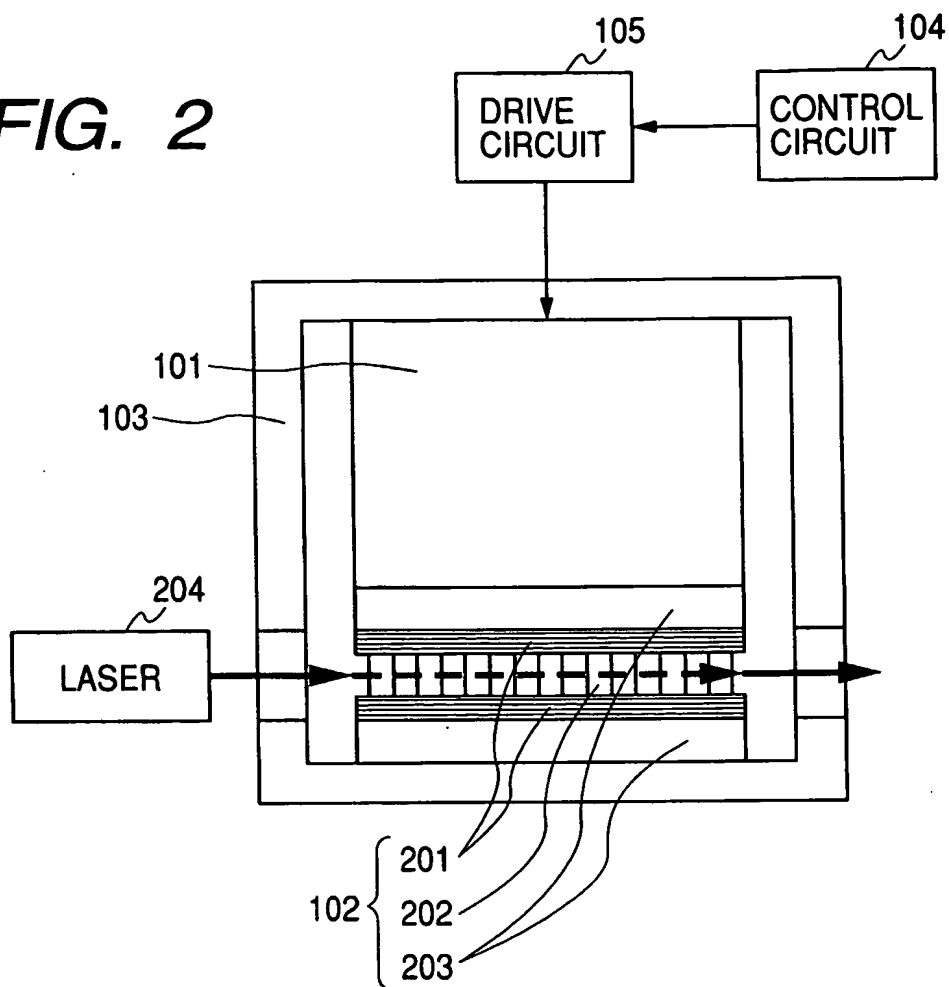
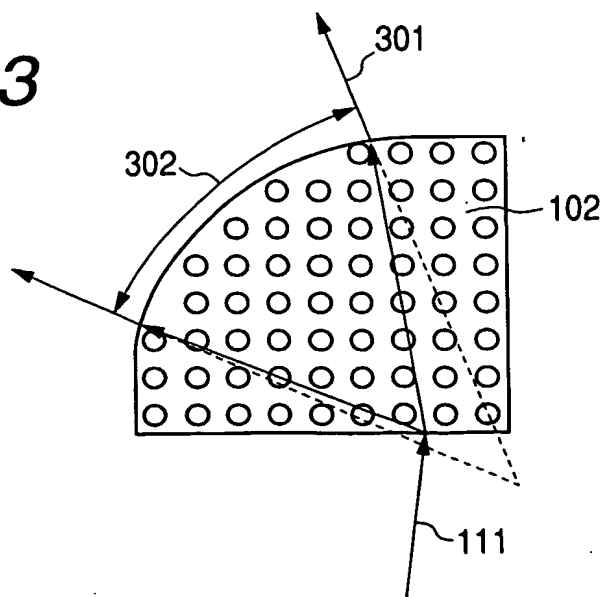


1 / 2

FIG. 1



2 / 2

**FIG. 2****FIG. 3**

# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/JP 03/12423

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 G02B6/12 G02F1/29

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 G02B G02F

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ, COMPENDEX, INSPEC

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 1 243 966 A (MATSUSHITA ELECTRIC WORKS LTD) 25 September 2002 (2002-09-25)	1,2,9
Y	abstract; figures 7,15 ---	3-5
Y	WO 02 10843 A (MATSURA NAOMI ;RUDA HARRY E (CA); YACOBI BEN G (CA)) 7 February 2002 (2002-02-07) abstract; claims 1,11,14; figures 10,14-16 ---	3-5
X	WO 02 14913 A (CORNING INC) 21 February 2002 (2002-02-21) abstract; figures 16-18 page 13, line 27 -page 14, line 3 --- -/--	1,2,9

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

\* Special categories of cited documents:

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*8\* document member of the same patent family

Date of the actual completion of the international search

8 January 2004

Date of mailing of the international search report

19/01/2004

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Faderl, I

# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/JP 03/12423

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	KIM S ET AL: "STRAIN-TUNABLE PHOTONIC BAND GAP CRYSTALS" APPLIED PHYSICS LETTERS, AMERICAN INSTITUTE OF PHYSICS, NEW YORK, US, vol. 78, no. 20, 14 May 2001 (2001-05-14), pages 3015-3017, XP001063704 ISSN: 0003-6951 the whole document	1,2
P, X	WO 03 005119 A (FEISST ARNO ;FRAUNHOFER GES FORSCHUNG (DE)) 16 January 2003 (2003-01-16) abstract; claim 24; figures 3,4 column 9, paragraph 68 -column 10, paragraph 75	1-9
A	WO 02 27383 A (TAKIGUCHI YOSHIHIRO ;ITOH KENSAKU (JP); YAMANAKA JUNPEI (JP); HAMA) 4 April 2002 (2002-04-04) abstract; figures	1
A	US 6 448 997 B1 (KOIDE HIROSHI) 10 September 2002 (2002-09-10) cited in the application the whole document	1,6-8
A	US 6 064 506 A (KOOPS HANS) 16 May 2000 (2000-05-16) abstract; figures 1,2	1,2

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/JP 03/12423

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
EP 1243966	A	25-09-2002	CA 2377286 A1	22-09-2002
			CN 1376941 A	30-10-2002
			EP 1243966 A2	25-09-2002
			JP 2002350908 A	04-12-2002
			US 2002135863 A1	26-09-2002
WO 0210843	A	07-02-2002	AU 7622801 A	13-02-2002
			WO 0210843 A2	07-02-2002
			CA 2417747 A1	07-02-2002
			EP 1305668 A2	02-05-2003
WO 0214913	A	21-02-2002	AU 8336901 A	25-02-2002
			AU 8495101 A	25-02-2002
			EP 1315987 A1	04-06-2003
			WO 0214913 A1	21-02-2002
			WO 0214914 A1	21-02-2002
			US 2002021878 A1	21-02-2002
			US 2002048422 A1	25-04-2002
WO 03005119	A	16-01-2003	DE 10132850 A1	23-01-2003
			WO 03005119 A2	16-01-2003
WO 0227383	A	04-04-2002	JP 2002098917 A	05-04-2002
			AU 9027801 A	08-04-2002
			EP 1321794 A1	25-06-2003
			WO 0227383 A1	04-04-2002
US 6448997	B1	10-09-2002	JP 2001075040 A	23-03-2001
US 6064506	A	16-05-2000	DE 19610656 A1	11-09-1997
			AT 209791 T	15-12-2001
			CA 2248372 A1	12-09-1997
			DE 59705549 D1	10-01-2002
			WO 9733192 A1	12-09-1997
			EP 0885402 A1	23-12-1998
			ES 2169354 T3	01-07-2002
			JP 2000506281 T	23-05-2000
			NO 984000 A	31-08-1998